

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of: Raffaella COSTA et al.	)	
	)	
Application No.: Not Yet Assigned	)	
	)	Group Art Unit: Not Yet Assigned
Filed: February 3, 2006	)	
	)	Examiner: Not Yet Assigned
National Stage of International Application No.	)	
PCT/EP2003/008613 under 35 U.S.C. 371	)	
	)	
For: INTEGRATED OPTICAL WAVEGUIDE	)	
STRUCTURE WITH LOW COUPLING LOSSES TO	)	
AN EXTERNAL OPTICAL FIELD	)	

MAIL STOP PCT  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

**INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. § 1.97(b)**

Pursuant to 37 C.F.R. §§1.56 and 1.97(b), applicants bring to the Examiner's attention the documents listed on attached Form PTO/SB/08 and cited in the international search report. With the exception of the U.S. patents, a copy of each listed document is attached. Applicants respectfully request that the Examiner consider the documents listed on attached Form PTO/SB/08 and indicate that they were considered by making an appropriate notation on this form.

This Information Disclosure Statement is being filed with the above-referenced application.

Also enclosed is an English-language international search report from the European Patent Office in the PCT international application, from which this national phase U.S. application is derived.

This submission does not represent that a search has been made or that no better art exists and does not constitute an admission that each or all of the listed documents are material or constitute "prior art." If the Examiner applies any of the documents as prior art against any claim in the application and applicants determine that the cited documents do not constitute "prior art" under United States law, applicants reserve the right to present to the Office the relevant facts and law regarding the appropriate status of such documents. Applicants further reserve the right to take appropriate action to establish the patentability of the disclosed invention over the listed documents, should one or more of the documents be applied against the claims of the present application.

10/566948

Customer No. 22,852

Attorney Docket No. 05788.0385

IAP20 Rec'd PCT/PTO 03 FEB 2006

If there is any fee due in connection with the filing of this Statement, please  
charge the fee to our Deposit Account No. 06-0916.

Respectfully submitted,

FINNEGAN, HENDERSON, FARABOW,  
GARRETT & DUNNER, L.L.P.

Dated: February 3, 2006

By:



Ernest F. Chapman  
Reg. No. 25,961

Enclosures  
EFC/FPD/blc

IDS Form PTO/SB/08: Substitute for form 1449A/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  <i>(Use as many sheets as necessary)</i>				<b>Complete if Known</b>	
				Application Number	Not Yet Available
				Filing Date	February 3, 2006
				First Named Inventor	Raffaella COSTA
				Art Unit	Not Yet Available
				Examiner Name	Not Yet Available
Sheet	1	of	2	Attorney Docket Number	05788.0385

U.S. PATENTS AND PUBLISHED U.S. PATENT APPLICATIONS					
Examiner Initials	Cite No. <sup>1</sup>	Document Number	Issue or Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
		US-5,078,516	01-07-1992	Thurston et al.	
		US-6,240,233	05-29-2001	Weinert et al.	
		US-6,229,947	05-08-2001	Vawter et al.	
		US-6,396,984	05-28-2002	Cho et al.	

**Note: Copies of the U.S. Patent Documents are not Required in IDS filed after October 21, 2004**

FOREIGN PATENT DOCUMENTS						
Examiner Initials	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	Translation <sup>6</sup>
		Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (if known)				
		GB 2 345 980	07-26-2000	Cho et al.		
		EP 1 245 971	10-02-2002	De Mesel et al.		
		WO 02/42808	05-30-2002	Kazarinov et al.		
		WO 03/044580	05-30-2003	Little		

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	Translation <sup>6</sup>
		G. WENGER et al., "Design and Fabrication of Monolithic Optical Spot Size Transformers (MOST's) for Highly Efficient Fiber-Chip Coupling", IEEE Journal of Lightwave Technology, Vol. 12, No. 10, pp. 1782-1790, (1994).	
		I. MOERMAN et al., "A Review on Fabrication Technologies for the Monolithic Integration of Tapers with III-V Semiconductor Devices", IEEE Journal of Selected Topics In Quantum Electronics, Vol. 3, No. 6, pp. 1308-1320, (1997).	
		R.M. DE RIDDER et al., "A Spot-Size Transformer for Fiber-Chip Coupling in Sensor Application at 633 nm in Silicon Oxynitride", Proceedings LEOS '95, Vol. 2, pp. 86-87, (1995).	
		M.M. SPUEHLER et al., "A Very Short Planar Silica Spot-Size Converter Using a Nonperiodic Segmented Waveguide", IEEE Journal of Lightwave Technology, Vol. 16, No. 9, pp. 1680-1685, (1998).	
		T. PAATZSCH et al., "Very Low-Loss Passive Fiber-to-Chip Coupling with Tapered Fibers", Applied Optics, Vol. 36, No. 21, pp. 5129-5133, (1997).	
		K. KASAYA et al., "A Simple Laterally Tapered Waveguide for Low-Loss Coupling to Single-Mode Fibers", IEEE Photonic Technology Letters, Vol. 5, No. 3, pp. 345-347, (1993).	
		O. MITOMI et al., "Design of a Single-Mode Tapered Waveguide for Low-Loss Chip-to-Fiber Coupling", IEEE Journal of Quantum Electronics, Vol. 30, No. 8, pp. 1787-1793, (1994).	
		K. WOERHOFF et al., "Design, Tolerance Analysis, and Fabrication of Silicon Oxynitride Based Planar Optical Waveguides for Communication Devices", IEEE Journal of Lightwave Technology, Vol. 17, No. 8, pp. 1401-1407, (1999).	

Examiner Signature		Date Considered	
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.